



1124003

Docket No: AM100305  
Patent

1624

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re of Application of: Anita W-Y. Chan  
Application No.: 10/016,229  
Filed: November 2, 2001  
For: Group Art No.: 1624  
Examiner: B. Coleman  
PROCESS FOR THE PREPARATION OF 1, 2, 3, 4, 8, 9, 10, 10a-  
OCTAHYDRO-7bH-CYCLOPENTA[b][1, 4]DIAZEPINO- [6, 7, 1-hi]  
INDOLE DERIVATIVES  
Confirmation, No.: 9006  
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In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

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I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EU947815626US addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

November 25, 2003  
Date

Paula L. Dickey  
Paula L. Dickey

2. Identification of Time of Filing

This Information Disclosure Statement

- a. ☐ is filed within three months of the filing date of the application.
- b. ☒ is filed before the mailing date of a first Office Action on the merits.
- c. ☐ is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. ☐ is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
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The undersigned attorney certifies

- a. ☐ that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.
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A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that if this patent application was filed or entered the national stage after June 30, 2003, no copy of a U.S. patent or U.S. patent application publication is enclosed.

☐ Previously Cited Information

No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Application Number \_\_\_\_\_, filed on \_\_\_\_\_ of \_\_\_\_\_ for \_\_\_\_\_

- ☐ Concise Explanation  
Documents cited above which are not in the English Language
- a. ☐ have been explained in the specification.  
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Form PTO-1449 is enclosed in duplicate.


- ☐ Fees  
☐ Fee for filing under 37 CFR 1.97(c) or (d)      Fee: \$180.00

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Kimberly R. Hild  
Kimberly R. Hild  
Attorney for Applicants  
Reg. No. 39,224

Wyeth  
Patent Law Department  
Five Giralda Farms  
Madison, NJ 07940  
Tel. No. 484 865 8610

Substitute for form 1449/PTO					<b>Complete if Known</b> Application Number 10/016,229 Filing Date November 2, 2001 First Named Inventor Anita W-Y. Chan Group Art Unit 1624 Examiner Name B. Coleman Attorney Docket Number AM100305	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Sheet 1 of 1			

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